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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	501.35286C15
First Inventor	MIYAZAKI, CHUICHI
Title	SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF
Express Mail Label No.	

**APPLICATION ELEMENTS**

SEE MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**
 Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status  
See 37 CFR 1.72
3. ☒ Specification [Total Pages: 84]  
(Include an abstract and a duplicate for fee processing)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 43]
5. Oath or Declaration [Total Pages: 3]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specified Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies), or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS) PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: **Claim for For. Priority: Cross-Ref. to Related Applications**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/771,670

Prior application information: Examiner: L. Thai Group Art Unit: 2811

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

620457

or ☐ Correspondence address below

Name	ANTONELLI, TERRY, STOUT & KRAUS, LLP			
Address				
City		State		Zip Code
Country		Telephone	(703) 312-6600	Fax (703) 312-6666
Name	Larry N. Anagnos	Registration No. (Attorney/Agent)	32,392	
Signature	Larry N. Anagnos			Date January 30, 2002

Burden Hour Statement: This form is estimated to take 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL for FY 2002

*Patent fees are subject to annual revision.*

## Complete if Known

Application Number	R53(b) Cont. of SN 09/771,670
Filing Date	January 30, 2002
First Named Inventor	MIYAZAKI, CHUICHI
Examiner Name	L. Thai
Group Art Unit	2811
Attorney Docket No.	501.35286C15

**TOTAL AMOUNT OF PAYMENT** 740.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:
- Deposit Account Number 01-2135
- Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.18 and 1.17
- ☐ Applicant Claims small entity status See 37 CFR 1.27

## 2. BASIC FILING FEE

- ☐ Check ☒ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

Large Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
101	740	201	Utility filing fee	740.00
105	330	206	Design filing fee	
107	510	207	Plant filing fee	
108	740	208	Reissue filing fee	
114	160	214	Provisional filing fee	
<b>SUBTOTAL (1)</b>				740.00

## 1. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
8-20**	= 0	x	=
Indep. Claims 1-3**	= 0	x	=
Multiple Dependent			=

Large Fee Code	Small Fee Code	Entity Fee Code	Fee Description
103	18	203	Claims in excess of 20
102	84	202	Independent claims in excess of 3
104	280	204	Multiple dependent claim, if not paid
109	84	209	** Reissue independent claims over original patent
110	18	210	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) \$</b>			

\*\*or number previously paid, if greater. For Reissues, see above.

## FEE CALCULATION (continued)

Large Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examination action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	400	216	200 Extension for reply within second month	
117	620	217	400 Extension for reply within third month	
118	1,440	218	720 Extension for reply within fourth month	
128	1,950	228	980 Extension for reply within fifth month	
119	320	219	160 Notice of Appeal	
120	320	220	160 Filing a brief in support of an appeal	
121	280	221	140 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,280	241	640 Petition to revive - unintentional	
142	1,280	242	640 Utility issue fee (or reissue)	
143	460	243	230 Design issue fee	
144	620	244	310 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(g)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	740	246	370 For each additional invention to be examined (37 CFR § 1.129(a))	
149	740	249	370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370 Request for Continued Examination (RCE)	
168	900	168	900 Request for expedited examination of a design application	

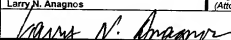
Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Larry N. Anagnone	Registration No. (Attorney/Agent)	32,392	Telephone	703-312-6600
Signature		Date	01/30/2002		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

10058709.013002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): C. MIYAZAKI et al  
 Serial No.: (New continuation application under  
 37 CFR §1.53[b] of application  
 Serial No. 09/771,670)  
 Filed: January 30, 2002  
 For: SEMICONDUCTOR DEVICE AND MANUFACTURING  
 METHOD THEREOF  
 Group: 2811  
 Examiner: L. THAI

CROSS-REFERENCE TO RELATED APPLICATIONS

Assistant Commissioner of Patents January 30, 2002  
 Washington, D. C. 20231

Sir:

In the matter of the above-identified application,  
 Applicants would like to bring to the Examiner's immediate  
 attention all continuing applications (including ten (10)  
 previously filed applications and the four (4) additional  
 applications [including the above-referenced application])  
 which were filed under 37 CFR §1.53(b), respectively, and which  
 have as a basis the same prior, original application and  
 continuing application thereof, as that corresponding to  
 the above-referenced application, which are listed on page  
 1 of the specification following the title of the  
 invention. Namely, all eleven continuations and three

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divisionals (including the above-referenced application) which have as a basis the prior U.S. Application Serial No. 09/449,834 (the CPA of which was allowed) and which, in turn, was based on the prior, original U.S. Serial Application Serial No. 08/822,933, filed March 21, 1997, now abandoned, are listed as follows:

Type	Serial No.	Filing Date	Status	Atty. Dkt.
CONT.	09/760,733	01/17/01	Allowed	501.35286CC2
CONT.	09/764,378	01/19/01	Allowed	501.35286CC3
CONT.	09/765,376	01/22/01	Pending	501.35286CC4
DIV.	09/768,451	01/25/01	Allowed	501.35286VC5
CONT.	09/768,288	01/25/01	Pending	501.35286CC6
CONT.	09/770,493	01/29/01	ABD	501.35286CC7
DIV.	09/770,494	01/29/01	Allowed	501.35286VC8
CONT.	09/771,670	01/30/01	Allowed	501.35286CC9
CONT.	09/771,648	01/30/01	Pending	501.35286C10
DIV.	09/771,985	01/30/01	Pending	501.35286V11
CONT.	N.Y.A.	01/30/02	Pending	501.35286C13
CONT.	N.Y.A.	01/30/02	Pending	501.35286C14
CONT.	N.Y.A.	01/30/02	Pending	501.35286C15
CONT.	N.Y.A.	01/30/02	Pending	501.35286C16

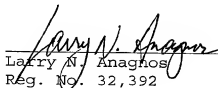
Attached hereto, also, is a chart showing the file history and relationship of the eleven (11) continuation applications and

the three (3) divisional applications which are, respectively, based on the same original continuation series including prior, U.S. Application Serial No. 09/449,834, which was filed as a continuation of prior, original U.S. Application Serial No. 08/822,933, as noted earlier.

The mentioning of the above-noted file histories is being made, at this time, in order to complete the record in keeping with the Duty of Disclosure/Candor Requirements. Acceptance and formal entry therefor of this paper, which is also being filed in connection with each of the other listed continuing applications concurrently filed herewith, is respectfully requested.

If any costs are due, kindly charge any fees due in connection with the filing of this paper to the Deposit Account of Antonelli, Terry, Stout & Kraus, LLP, Dep. Acct. No. 01-2135 (501.35286C15), and please credit any excess fees to such deposit account.

Respectfully submitted,  
ANTONELLI, TERRY, STOUT & KRAUS, LLP

  
\_\_\_\_\_  
Larry N. Anagnos  
Reg. No. 32,392

LNA/dks  
(703) 312-6600

SERIAL NO. 08/822,933 Filed March 21, 1997  
Your Ref: Our Ref. 501.35286X00



SERIAL NO. 09/449,834 Filed November 26, 1999  
Your Ref. Our Ref. 501.35286CX1  
CPA filed on June 20, 2001 as C12-Allowed

501.35286C01  
501.35286C02  
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501.35286C99  
501.35286C00

Cont.	501.35286CC2
Serail No	filed January 17, 2001
09/760,733	Allowed
Cont.	501.35286CC3
Serail No	filed January 19, 2001
09/764,378	Allowed
Cont.	501.35286CC4
Serail No	filed January 22, 2001
09/765,376	Pending
Div.	501.35286VC5
Serail No	filed January 25, 2001
09/768,451	Allowed
Cont.	501.35286CC6
Serail No	filed January 25, 2001
09/768,288	Pending
Cont.	501.35286CC7
Serail No	filed January 29, 2001
09/770,493	ABD
Div.	501.35286VC8
Serail No	filed January 29, 2001
09/770,494	Allowed
Cont.	501.35286CC9
Serail No	filed January 30, 2001
09/771,670	Allowed
Cont.	501.35286C10
Serail No	filed January 30, 2001
09/771,648	Pending
Div.	501.35286V11
Serail No	filed January 30, 2001
09/771,985	Pending

CONT.	501.35286C13
N.Y.A.	filed: 01/30/02
	Pending
CONT.	501.35286C14
N.Y.A.	filed: 01/30/02
	Pending

CONT.	501.35286C16
N.Y.A.	filed: 01/30/02
	Pending
CONT.	501.35286C15
N.Y.A.	filed: 01/30/02
	Pending